

State of California
INSTRUCTIONS
FOR COMPLETING A UNIFORM TRANSIT APPLICATION

(Form A -- Instructions)

For each item in this application (Form A -- Application), the information required is discussed in the document, "Instructions for Completing a Uniform Transit Application" (Form A -- Instructions). The Instructions indicate which items need to be completed depending upon the programs involved and type(s) of funding requested, the type of mass transit project and activities involved, and the California Transportation Commission action requested. The applicant should always refer to the Commission's adopted guidelines and policies, as well as applicable statutes, upon which this application is based.

The Uniform Transit Application is designed to be used for:

- Flexible Congestion Relief funding for a transit project in the sixth and seventh year of the State Transportation Improvement Program (STIP).
- Amending or replacing an intercity rail project in an adopted STIP.
- Amending or replacing a commuter/urban rail project in an adopted STIP.
- Advance expenditure of local match request (SB 2800) or the Advancement of Projects and Reimbursement by the State (AB 298/AB 3090 Projects).
- Project application for Proposition 116 funding.
- Project approval or partial/provisional approval.

Flexible Congestion Relief (FCR) projects must meet screening/threshold criteria prior to the evaluation of an applicant's Uniform Transit Application submittal. In order for an agency application submittal requesting Proposition 116 funds to be considered, the agency and the rail project/corridor must be listed as an eligible agency and project in Proposition 116 (see Proposition 116 Eligible Projects (Form EP-116)). These criteria can be found in Form B. Resolutions or certifications must be provided to the state that the agency applying for funds can attest to meeting threshold eligibility requirements and enter into legally binding commitments.

All application requests should be sent to the appropriate Regional Transportation Planning Agency, Local Transportation Commission, or County Transportation Commission for:

- Review and comment for Proposition 116 applications
- Regional Transportation Improvement Program inclusion to be submitted to the Commission for STIP consideration

All application requests should be sent to:

California Transportation Commission
1120 N Street, Suite 2221
Sacramento, CA 95814
Attn: Executive Director
Chief,

Department of Transportation
Mass Transportation Program
1120 N Street, Suite 3300
Sacramento, CA 95814
Attn: Branch Chief

and
Caltrans District Office
Attn: District Division
Planning

(See listing on next page)

Caltrans District Offices are listed as follows:

| | | <u>PUBLIC #</u> | <u>CALNET</u> | <u>MAIL</u> |
|---------------------------------------|--------------------------------|----------------------|-------------------|---------------------------------|
| District 1 - Eureka | <u>Gen Info</u> | (707)445-6600 | 8-538-6600 | DISTRICT 1 - EUREKA |
| District Director | Rick Knapp | (707)445-6445 | 8-538-6445 | 1656 UNION STREET (95501) |
| District Division Chief | Cheryl Willis | (707)445-6413 | 8-538-6413 | P.O. BOX 3700 |
| <i>Transit Rep-fax (8) 538-5869</i> | <i>Michele Fell</i> | <i>(707)445-6333</i> | <i>8-538-6333</i> | EUREKA, CA 95502-3700 |
| District 2 - Redding | <u>Gen Info</u> | (530)225-3426 | 8-442-3426 | DISTRICT 2 - REDDING |
| District Director | Thom Niesen | (530)225-3477 | 8-442-3477 | 1657 RIVERSIDE DRIVE (96001) |
| District Division Chief | Don Anderson (Acting) | (530)225-3570 | 8-442-3570 | P.O. BOX 496073 |
| <i>Transit Rep-fax (8) 442-3578</i> | <i>Gary Otremba (Acting)</i> | <i>(530)225-3484</i> | <i>8-442-3484</i> | REDDING, CA 96049-6073 |
| District 3 - Marysville | <u>Gen Info</u> | (530)741-4211 | 8-457-4211 | DISTRICT 3 - SAC. AREA OFF. |
| District Director | Irene Itamura | (530)741-4233 | 8-457-4233 | 703 "B" STREET (95901) |
| District Division Chief | Jody Lonergan | (530)741-4277 | 8-457-4277 | P.O. BOX 911 MS 41 |
| <i>Transit Rep-fax (916) 323-7669</i> | <i>Wayne Schenll</i> | <i>(530)741-4025</i> | <i>8-477-4025</i> | SACRAMENTO, CA 95901 |
| District 4 - Oakland | <u>Gen Info</u> | (510)286-4444 | 8-541-4444 | DISTRICT 4 - OAKLAND |
| District Director | Harry Yahata | (510)286-5900 | 8-541-5900 | 111 GRAND AVENUE (94612) |
| District Division Chief | Darnell Reynolds | (510)286-5898 | 8-541-5898 | P.O. BOX 23660 |
| <i>Transit Rep-fax (8) 541-5559</i> | <i>Wade Green/Tom McDonald</i> | <i>(510)286-5541</i> | <i>8-541-5541</i> | OAKLAND, CA 94623-0660 |
| District 5 - San Luis Obispo | <u>Gen Info</u> | (805)549-3111 | 8-629-3111 | DISTRICT 5 - SAN LUIS OBISPO |
| District Director | Jay Walter | (805)549-3127 | 8-629-3127 | 50 HIGUERA STREET |
| District Division Chief | Gregg Albright | (805)549-3161 | 8-629-3161 | SAN LUIS OBISPO, CA 93401-5415 |
| <i>Transit Rep-fax (8) 629-3077</i> | <i>Tim Rochte</i> | <i>(805)549-3130</i> | <i>8-629-3130</i> | |
| District 6 - Fresno | <u>Gen Info</u> | (559)488-4020 | 8-422-4020 | DISTRICT 6 - FRESNO |
| District Director | Bart Bohn | (559)488-4057 | 8-422-4057 | 1352 W. OLIVE AVENUE (93728) |
| District Division Chief | D. Alan McCuen | (559)488-4115 | 8-422-4115 | P.O. BOX 12616 |
| <i>Transit Rep-fax (8) 421-5875</i> | <i>(Vacant)</i> | <i>(559)488-5763</i> | <i>8-421-5763</i> | FRESNO, CA 93778-2616 |
| District 7 - Los Angeles | <u>Gen Info</u> | (213)897-3656 | 8-647-3656 | DISTRICT 7 - LOS ANGELES |
| District Director | Robert W. Sassaman | (213)897-0362 | 8-647-0362 | 120 S. SPRING STREET |
| District Division Chief | Raja Mitwasi | (213)897-0362 | 8-647-0362 | LOS ANGELES, CA 90012 |
| <i>Transit Rep-fax (8) 647-0678</i> | <i>Linda Wright</i> | <i>(213)897-0213</i> | <i>8-647-0213</i> | |
| District 8 - San Bernardino | <u>Gen Info</u> | (909)383-4561 | 8-670-4561 | DISTRICT 8 - SAN BERNARDINO |
| District Director | Stan Lisiewicz | (909)383-4055 | 8-670-4055 | 464 WEST 4 TH STREET |
| District Division Chief | Dick Doyle | (909)383-4147 | 8-670-4147 | SAN BERNARDINO, CA 92401 |
| <i>Transit Rep-fax (8) 670-7934</i> | <i>Gary Green</i> | <i>(909)383-5926</i> | <i>8-670-5926</i> | |
| District 9 - Bishop | <u>Gen Info</u> | (760)872-0601 | 8-627-0601 | DISTRICT 9 - BISHOP |
| District Director | Tom Hallenbeck | (760)872-0602 | 8-627-0602 | 500 S. MAIN STREET |
| District Division Chief | Katy Walton | (760)872-0691 | 8-627-0691 | BISHOP, CA 93514 |
| <i>Transit Rep-fax (8) 627-0678</i> | <i>Brad Mettam</i> | <i>(760)872-0689</i> | <i>8-627-0689</i> | |
| District 10 - Stockton | <u>Gen Info</u> | (209)948-7543 | 8-423-7543 | DISTRICT 10 - STOCKTON |
| District Director | Mark Leja | (209)948-7943 | 8-423-7943 | 1976 E. CHARTER WAY (95205) |
| District Division Chief | Dana Cowell | (209)948-7906 | 8-423-7906 | P.O. BOX 2048 |
| <i>Transit Rep-fax (8) 423-3631</i> | <i>Carlos Yamzon</i> | <i>(209)948-3975</i> | <i>8-423-3975</i> | STOCKTON, CA 95201 |
| District 11 - San Diego | <u>Gen Info</u> | (619)688-6678 | 8-688-6678 | DISTRICT 11 - SAN DIEGO |
| District Director | Gary Gallegos | (619)688-6668 | 8-688-6668 | 2829 JUAN STREET (92110) |
| District Division Chief | Gene Pound | (619)688-6678 | 8-688-6678 | P.O. BOX 85406 |
| <i>Transit Rep-fax (8) 688-42991</i> | <i>Bill Figge</i> | <i>(619)688-6954</i> | <i>8-688-6954</i> | SAN DIEGO, CA 92186-5406 |
| District 12 - Orange County | <u>Gen Info</u> | (949)724-2000 | 8-655-2000 | DISTRICT 12 - ORANGE COUNTY |
| District Director | Ken Nelson | (949)724-2007 | 8-655-2007 | 3347 MICHELSON DRIVE |
| District Division Chief | Judy Heyer (Acting) | (949)724-2014 | 8-655-2014 | IRVINE, CA 92612 |
| <i>Transit Rep-fax (8) 655-2592</i> | <i>Gail Farber</i> | <i>(949)724-2252</i> | <i>8-655-2252</i> | |

Section I, Items 1 and 2, includes the applicant's assurances that eligibility requirements are met and that title and certification requirements are met. This section once completed can be used again for future applications of the same project, providing no changes have occurred between application requests, with the provision that Item 1-G must be changed to reflect the current date of the subsequent application request.

Section II, Items 3 through 10, should be updated as appropriate with each subsequent application request.

SECTION I. TITLE, CERTIFICATION and ELIGIBILITY

Item 1. Title and Certification

This section identifies the project, its funding and certifies the applicant's authority to apply.

- A.** The "Project Type and Title" should be the name of the project, a brief, unique reference that may be used to identify the project without other descriptive terms (e.g., the Los Angeles-Ventura Commuter Rail Project for Capital Improvements and Right-of-Way Acquisition). Please type your agency name and project title on the top of each page of the application. Check the type(s) of rail service that would be implemented, if appropriate.
- B.** Identify the city(s) or county(s) in which the project is located.
- C.** Use post mile or cross streets where appropriate.
- D.** List the total project cost and show all fund types requested from all state, federal, local and other funding sources.
- E.** Identify the total state funding participation.
- F.** Identify the amount of funds requested by state fund source(s) for this project application.
- G.** Application submittal data should be changed each time the application is submitted.
- H-J.** List lead applicant agency name, address, FAX number, phone number, and contact person. Please list co-applicant or recipient agency information as appropriate; this type of information is for Proposition 116 applications.
- N.** List all other funding agencies participating in this project.
- O-P.** Identify the recipient and recipient's address if it is not the applicant agency.
- Q.** Signature sheet: Authorized officers of the agency are confirming the validity of the project and the authorization to apply for funding.

Item 2. Eligibility

Please ensure that your project meets the basic eligibility, screening or threshold criteria for the program in which you are seeking funding or programming before continuing (see Instructions, Eligibility Criteria - Form B).

The following criteria, as appropriate, have been met for the project described herein:

- Flexible Congestion Relief Program - Screening Criteria - STIP Projects
- Proposition 116 Rail Program - Rail Evaluation Criteria

As part of the eligibility requirements, please keep in mind that the programs vary in terms of the time-frame for which funds are requested. The closer a project is to the implementation date, the more specificity on project cost, schedule and activities should be presented in this application.

If your agency's policy board has delegated, by resolution, to the agency's general manager, executive director or chief executive officer (CEO) the general authority to commit the agency to legally binding commitments with the state, you should submit a copy of the resolution delegating the authority to the CEO.

The list of required resolutions and certifications **shall** be checked off by the applicant that the CEO is authorized to provide assurances that the conditions, requirements, or statements of fact shall be honored by his agency's policy board. If the CEO does not have agency delegation, the agency is required to provide a resolution on the eligibility requirements below.

- a-b. Self Explanatory
- c. Intercity rail projects (except feasibility studies) require no local match. No local match is required for Prop 116 projects unless so specified in the law. (Section 99665 (a) of the Public Utilities Code).
- d. CTC's backfill policy: G-90-11.
- e. High Density Housing Demonstration Program: Government Code Sections 14035.1, 14045, 65083, 65313.5.
- f. CTC's Hazardous Waste policy for Right-of-Way Acquisition: G-91-2
- g. CTC's Timely Use of Funds policy: G-88-6.
- j. - n. CTC Resolution G-90-23.

SECTION II. FUNDING, PROJECT DESCRIPTION AND SCHEDULES, AND SYSTEM CHARACTERISTICS

Item 3. Funding Sources and CTC Actions Requested For This Specific Application

Funding from Flexible Congestion Relief (FCR) and Proposition 116 funds are restricted by statutes and guidelines in terms of the activities for which they may be used. This section must be completed separately for each fund source requested or for each action requested.

IF THIS REQUEST INVOLVES THE FOLLOWING:

THEN THE FOLLOWING DOCUMENTS SHOULD BE REVIEWED:

State-Local Transportation Partnership Program

State-Local Transportation Partnership Program Guidelines **-Do Not Use** the "Uniform Transit Application" for this program.

Advance Expenditures of Local Match Funds

Guidelines for Advance Expenditure of Local Match Funds,(SB 2800 Guidelines) CTC Resolution G-91-11, revised by G-91-23 (10/18/91) and revised by G-93-01 (1/93).

Advancing Projects and Reimbursement

Guidelines for Advancing Projects and Reimbursements (G-93-08). (AB 3090 Guidelines)

Proposition 116,
FCR

Commission Allocation of Bond Funds to Projects, CTC Resolution G-91-9. Although TCI and FCR programs do not involve bond funds, the policies apply to all programs.

Financial Guidelines for Local Agency Reimbursement.

Mass Transportation Monitoring and Procedure, CTC Resolution G-90-11.

Policy for Management of Local Assistance (Guideways) Allocations, CTC Resolution G-88-6.

Policy for Cost Savings Incentives, CTC Resolution G-90-9.

Five-Point Strategy for Program Delivery Reform and its addendum, CTC Resolution G-90-21.

STIP/RTIP Development Guidelines, Commission Policy for Proportionate Allocation of Rail Bond Funds, CTC Resolution G-91-10.

Criteria for Evaluation of Projects Funded By State Mass Transportation Program.

Clean Air and Transportation Improvement Act (CATIA) Rail Guidelines, CTC Resolution G-90-23, Rail Project Application Guidelines.

Flexible Congestion Relief

Flexible Congestion Relief Program Guidelines

Projects Involving Both Intercity and Commuter/Urban Rail

If your project involves Intercity Rail and either Commuter or Urban Rail, funds will be allocated, in terms of local match requirements, based upon an agreed upon pro rata basis to each service type. Commuter/Urban Rail projects require a dollar for dollar local match and Intercity projects require no local match.

FCR Transit Projects

FCR Transit Projects are generally Commuter and Urban Rail transit projects within voter-approved Article XIX counties as specified in Article XIX of the State Constitution. The Project Study Report for a transit project required in the FCR Program Guidelines may be substituted as the required information is included in this application.

The FCR Program Guidelines must be observed and the questions completed for rail projects when a highway is impacted by the rail project. Further information can be obtained from the Commission.

Projects Involving Proposition 116 Funds

The list of projects eligible to be funded with Proposition 116 is extensive. Please see Proposition 116 Eligible Projects, Form EP-116 of these Instructions. Please note the Public Utilities Code Section Number(s) which contains your project and cite that number(s) and provide a description.

Funding Sources

Original Requested Funding

This amount is the original amount requested, the fund sources requested, and the fiscal years that funding is requested. If the amounts requested for the total project go beyond three (3) years, an attachment for subsequent years should be provided to show total project costs.

New Requested Funding Sources & Schedule:

This section is to provide information on any changes to the amount originally requested. Show the total amount requested, not just the difference between the two. If any additional columns are needed, an attachment for subsequent years should be provided to show the total project cost.

CTC Actions Requested

Describe what specific actions your agency is requesting for each funding source, cite the Public Utilities Code for Proposition 116 funds that your agency is seeking, and explain the reason for each amendment.

STIP Inclusion

Applies to the biennial STIP process, where a project is nominated for consideration by the regional agencies. If the agency is requesting approval of a project to be included in the STIP, make a check mark here. This information goes along with the original amount requested section

SB 2800 Approval - Advance Expenditures of Local Match Funds

Applies to all mass transit projects where a local match for state funds is required. SB 2800 approval by the Commission can only be granted to projects in an adopted STIP or listed as Proposition 116 projects per Section 99600 of the Public Utilities Code.

CTC Resolution #G-91-11, revised by G-91-23 (10/18/91) and revised by G-93-01 (1/93), details the requirements for an applicant to obtain CTC approval for an SB 2800. The Uniform Application can suffice as a written request and **no further information will be needed** from the applicant if **1)** SB 2800 action was indicated on the application and if **2)** the following information can be obtained from the application:

- The applicant indicates **when** it wants to begin expending funds.
- The applicant indicates the **type of expenditures** proposed to be used for later match.
- The applicant provides **an estimate** of the amount of those expenditures.
- The applicant indicates **an identifiable product** that will result from each kind of expenditure.
- The applicant lays out the **time frame** for project activities and expected state reimbursement.

AB 3090 Approval - Advancing Projects and Reimbursement

Applies to a mass transit project where your agency is requesting to advance project completion with local funds, prior to its programmed year, and your agency is seeking to be reimbursed with state funds or with a substitute project in the original year programmed. The general process for a local agency to advance a project and later get reimbursement has seven steps:

- 1) The local agency seeks agreement with its regional transportation agency to advance funding for a project in the state program and define later reimbursement with a substitute project or cash;
- 2) the local agency asks Caltrans to draw up a cooperative agreement covering project development work and funding, right-of-way and construction work and funding, and reimbursement, for both the project

being advanced and the payback project, and to prepare and submit a program amendment to the Commission;

- 3) the local agency and Caltrans agree on, approve, and sign the cooperative agreement;
- 4) the Commission approves the program amendment, changing the schedule and funding of the existing project in the program and adding an equivalent payback project into the program in the original year of programming, or in a later year if program-wide funding is short;
- 5) the local agency and Caltrans deliver and build the project in accordance with the cooperative agreement, and undertake work on any substitute project as specified;
- 6) the local agency submits to Caltrans for reimbursement of completed work as provided in the cooperative agreement; and
- 7) Caltrans reimburses the local agency for project development work and seeks an allocation of funds from the Commission with which it reimburses the local agency for capital outlay, all within budget authority and within the terms of the cooperative agreement.

CTC Resolution G-93-08 provides the guidelines for advancing projects and reimbursement as per AB 3090. The Uniform Application can suffice as a written request and **no further information will be needed** from the applicant if **1)** AB3090 action was indicated in the application and if **2)** the following steps were completed and **detail** for the requirements is evident in the application.

- The applicant must have reached an agreement with the RTPA to advance funding for a project in the state program which defined later reimbursement with a substitute project or cash.
- The local or regional agency must act as sponsor of the advanced project, and funding for the project must come from an account controlled and administered by that agency.
- The applicant must have asked Caltrans, through the appropriate district office, to draw up a cooperative agreement covering project development work and funding, right-of-way and construction work and funding, and reimbursement, for both the project being advanced and the payback project, and to prepare and submit a program amendment to the CTC.
- The applicant and Caltrans agreed on, approved and signed the cooperative agreement.

Project Approval

Applies to all projects where project approval is needed to secure interim financing or for a future fund allocation. An agency with a project that has multi-year funding may desire project approval or partial project approval.

Proposition 116 Project Application Approval

Applies to all transit projects requesting Proposition 116 funds. Project Application Approval means that the Commission has conceptually approved a project and the applicant agency may begin to expend funds for eligible pre-construction activities which may be reimbursed by the state. Proposition 116 project application approval by the Commission serves as a SB 2800 approval and allows an agency to begin expending local funds on a Proposition 116 funded project, once it has executed an agreement with Caltrans. Project application approval **does not** constitute AB 3090 approval to allow an agency to advance a project with local funds prior to the year programmed.

Proposition 116 Partial Project Approval

A partial/provisional approval may be attained in the following circumstances:

- if Proposition 116 application is still pending; or
- if the full funding package for the project includes future STIP programming or future federal funding grants for which backfill with local funding has not been guaranteed; or
- if any part of the local funding share has not yet been committed.

Other

Under "Other" actions one might request, for example, approval to make substantial changes to the phases or activities described in a previously approved application.

Amendments

STIP:

Applies to an agency requesting a change to a project in the adopted STIP. Requests for STIP amendments shall cite the reason for the request and identify at a minimum proposed changes to programmed projects relating to:

- Financial plan, specifically changes in fund source and amounts, and what project(s) numbers (PPNOs) the funds would be redirected from;
- Project scope and description; level of service;
- Overall funding schedule, specifically fiscal year changes.

Proposition 116:

Applies to an agency requesting a change to a project that has received Proposition 116 Project Application Approval from the Commission.

Item 4. Project Description and Benefits

Item 4.1 (a-b) Project Description

Please provide a comprehensive description of the overall project in terms of the level of services and performance goals to be achieved. If this request is for a segment, phase or stage of a larger project, please identify. Identify how this transit improvement contributes to the total regional transportation system. If other major project (all modes) need to be completed in order for the project to be fully operational, list each project. Please describe all major activities to accomplished.

- Track Improvements
 - Origination/Destination-Post Miles
 - Length
 - Number and Location of New Stations
 - Number of Locomotives
 - Number of Passenger Vehicles and Vessels
 - Passenger Volumes - Passenger/Day
 - Operation Hours
 - Headways
 - Number of Trains, Cars/Train
- Identify how this transit improvement contributes to the total regional transportation system.

- Please attach a descriptive location **map** indicating cross streets and an area map indicating city and county boundaries.
- The project should be supported by other transportation planning studies and documents that justify this project.
- If this project requires service over a railroad right-of-way, describe provisions to acquire the property or reference legal agreements for capital improvements and operating requirements. Identify the counties involved, and if right-of-way has not been secured, describe the status of the negotiations. Also, specifically identify any portion of the proposed right-of-way which is currently owned by any railroad corporation.
- Please address the following items where right-of-way purchase or easements are involved in the project, if available at the time application/programming is requested.

- (1) Provide your report on the appraisal cost and easement price of any rail right-of-way which will be included in this application as required by the Commission's rail right-of-way policy (G-90-17).

Hazardous materials and clean-up requires identification and disposition of those hazardous materials. The Commission's policy (G-91-2) requires the applicant to exercise full due diligence and indemnify the state of responsibility for the current or future liabilities associated with this problem. Please answer the questions below in that context.

- (2) Document activities undertaken to determine the absence/presence of hazardous wastes, and if hazardous wastes were found, provide a resolution from your governing board that full due diligence has been made to effect clean-up of the site and that the appropriate federal or state agency has reviewed and approved the actual clean-up.
- (3) Provide a resolution from your governing board which certifies that additional state funds will not be sought for clean-up, damages, or liability costs associated with hazardous wastes on or below acquired property's surface.
- (4) Prior to programming or allocation request, provide a resolution to the Commission that full due diligence has been exercised so:
 - That all rail right-of-way acquisition properties have been investigated and have been found clean; or
 - That the clean-up of discovered hazardous waste has been completed prior to acquisition of the property; or
 - That the grant applicant has obtained permanent easement, or operating agreements, or
 - If hazardous wastes are known to exist prior to acquisition and if the applicant determines that time is of the essence for acquisition, then and in that event, an enforceable agreement will be entered into requiring the responsible party to clean all hazardous wastes by a date certain, with the option of funds sufficient for the clean-up costs deposited in escrow by the seller.
- (5) Provide a certification that the seller from whom properties have been acquired will retain liability for any hazardous waste investigation and/or clean-up, and damages discovered subsequent to the transfer of title.

- Describe the rail agencies (public and private) that use the corridor, the type of rail services provided (e.g., freight, commuter and/or intercity rail passenger service, light rail service, and excursion service), explain how the

assets and maintenance costs are shared, and what is the disposition of the capital assets among the various agencies.

- Describe provisions for carrying bicycles in rail cars or for bicycle parking at stations. (Proposition 116 requires such provisions and facilities. This question is optional for other fund sources.
- All Proposition 116 rail transit new starts and extension requests shall include a plan for integrating bus/rail service to avoid duplicative and competing bus service. The Commission Transit Integration Plan Guidelines (G-91-19) require that the applicant show how the schedules of the bus/rail services are coordinated to provide "seamless" service to the transit patron. The Transit Integration Plan Guidelines may be obtained from the Caltrans district or the Commission office.
- Air quality conformity issues must be addressed which is why the applicant must identify the motive source. Rail cars funded from Proposition 116 must comply with Proposition 116 Rail Car Performance Specifications, which can be obtained from Caltrans Division of Rail. Please list motive source (e.g., diesel, electric, natural gas), the number of locomotives acquired, and the passenger cars to be acquired. If rolling stock, indicate the degree of compatibility with proposed or existing fleet, and if the rolling stock meets the California Rail Car Performance Specifications for commuter rail and/or intercity rail.
- Please describe the number and type of rail vehicles and /or buses or other vehicles/vessels to be acquired.

Item 4.2 Project Benefits

- a. Describe how this project contributes to the development of a coordinated and balanced regional transportation system which includes other rail systems and other travel modes. The project's impact on the overall transportation system development should be explained.
- b. Describe how this project will contribute to the enhancement of an efficient and effective intercity, commuter, and/or urban passenger rail system, or transit system. The project's capacity or contribution to improving or extending the rail system should be explained.
- c. If this request includes funding to complete any feasibility or planning studies, please describe such studies and their intent. (Except as provided by statute, it is Commission policy not to fund feasibility or planning studies using Proposition 116 funds.) The purpose, intent, and objectives of the study should be explained.
- d. If this project involves replacement or rehabilitation, explain how the improvements such as on-time performance, reliability, and passengers carried during peak periods results in an improvement to the system. Identify if this project is on an intercity, short-line or other type of rail project requiring rehabilitation.
- e. Please explain how the project is cost-effective, has the financial funding for capital and operational improvements and can be operated on an ongoing basis. Explain the assumptions used which demonstrate how the project is cost-effective, discuss the certainty of funding for the project, and discuss the likelihood of ongoing funding for the operation and maintenance of the project.
- f. Explain how the proposed rail station project or station improvements meet the high density housing demonstration program. The proposed rail station project or improvements must be on or near an existing or proposed rail station near existing or proposed high density housing. Explain the planning and other efforts that have been undertaken by the local agency and the transit operator to coordinate rail service with high density housing.

Item 5. System Characteristics

Item 5 a-i.

Describe the operating plan; the fare structure; the assumptions and process that were used to develop the ridership projections shown in the request; and the assumptions and process for how the projected operating costs were developed for this system. Indicate if this is a final or preliminary plan or structure. If this is a preliminary plan or structure indicate which components of the plan require refinements or modifications. Provide the estimated passenger carrying capacity for this service. Include any assumptions which were used to develop these costs.

Applicants must demonstrate that the proposed project is operationally viable and that adequate advance operations planning has occurred. Due to the lengthy construction period involved with many projects, it is possible that full operational plans will not be complete. While completed plans are preferred, information used to respond to this question may be based on preliminary plans. In addition, identify activities required to complete the operational plans and provide a schedule showing the starting and completion date for each of these activities.

In completing Item 7, be sure that all data components are identified using the same fiscal year. All inflation and deflation assumptions related to costs, revenues and ridership should be documented in the application. Additionally, the method of applying any inflation or deflation rates should be described. Operating costs and revenues should be shown for the same operating periods and inflation factors should be consistently applied to both of these items.

Please note that farebox revenues should be developed independently from operating costs. Farebox revenues should be developed using projected ridership figures and the anticipated fare structure. Farebox revenues should not be calculated by applying a set percentage to operating costs. If a final fare structure has not been developed, the use of a preliminary fare structure is acceptable. Please document all assumptions.

The Commission requires that transit services be cost effective and at a minimum that the service match the Commission policy requirements established for the farebox recovery ratio of 40% for commuter rail and 55% for intercity rail for existing operations or within a three year time period from the start of operations for new services. Farebox ratios shall be calculated consistent with current statutes.

The farebox recovery ratio for urban rail varies; a reasonable recovery ratio shall be recommended to the Commission by the Peer Review Committee (PRC) which reviews rail transit extensions and their integration with bus service. The PRC shall recommend a farebox recovery ratio either following or based upon current statutes (Transportation Development Act) for the service area that the transit operator is located.

Information must be provided for the current system and the first and third year of operations. The first year of the new service (Line Year 1) and the third year of the new service (Line Year 3) is based on data as applicable to the project for those years. System Year 1 is the sum of Current System and Line Year 1 information. System Year 3 is the sum of Current System and Line Year 3 information.

If planning studies have been completed for other operational years, this information may be used to supplement the information requested.

Item 6. Overall Project Schedule

An overall project schedule should reflect the amount of information available at the time the programming/project application approval is requested. The more complex the project, the more precise the project development schedule should be. Moreover, the project development schedule detail should allow the Department at the time an allocation request is made to be able to track a project's implementation progress. A project development schedule should at a minimum include the specific activities under each major expenditure category (i.e., right-of-way, capital improvement, and rolling stock) and appropriate time-frames, depending upon the anticipated schedule to complete the activities proposed for funding (see exhibit on last page).

Item 7. Environmental Clearance

Please refer to the *California Environmental Quality Act*- Public Resource Code 21000 et seq. and to the *National Environmental Policy Act* - 42 USC, Sec. 4321 et seq.

Item 8. Project Financial Plan and Cash Flow Expenditure Plan

Item 8a.

A financial cash flow and reimbursement plan is required for all programs and is especially important for rail-bond funded projects, since bond sales are typically limited to the estimated funds needed for a specific time period. Further, the cash flow for the first two fiscal years must be estimated by quarters.

This plan provides important details related to the expenditure of funds throughout the life of the project. The spreadsheets must show expenditures by type, cross-referenced to revenues and fiscal year for each fiscal year during the course of the project.

Expenditures may be identified in phases within the fiscal years, if this level of detail is available. The timeframes of phases must be identified. "Prior allocations" represent actual vote/authorization by an agency to allow the applicant to expend funds for the project.

"Current request" represents the current allocation amount sought by the applicant from the Commission. The requested allocation amount should be presented over the time frame that the funds are expected to be expended on a quarterly basis. "Future requests" represent the amount still outstanding to be sought. "Project total" is the total project amount from prior allocations, the current allocation request, and future allocations.

Under Funding Source - Local, "CMAQ" and "STP" funds are local funds that go directly to the MPO's. State "CMAQ" and "STP" funds fall under TSM and ISTEA , respectively, and should be identified as such.

Include documentation which details the major items to be purchased under each expenditure heading. For example, under the expenditure heading "Vehicle Acquisition/Rehab," a breakdown of the quantity, type and unit cost of vehicles to be purchased should be provided.

If expenditures for applicant staff time are included in the application, please include information as to how these expenditures were developed. This explanation should include a breakdown to show salaries, benefits, and all other items. If overhead costs are included, indicate the nature of these costs and, if appropriate, approaches utilized to determine these costs. Additional information about eligible overhead expenditures is available in *Financial Guidelines for Local Agency Reimbursement* as adopted by the California Transportation Commission in June 1991.

Please note that local matching funds are required for projects listed in PUC Sections 99630-99645 of the Proposition 116 program. Exceptions to the local match requirement are Intercity Rail projects, FCR projects and the projects cited in PUC Section 99636, The state's match of a projects is limited to 50% of the nonfederal share of the total project costs.

The Financial Plan may be a single statement for a small project that will receive a lump sum reimbursement after project completion.

Item 8b.

In completing Item 8b include any assumptions which were used to develop the projected capital costs. Be sure that all data components are identified using the same fiscal year. All inflation and deflation assumptions related to capital costs and revenues should be documented in the application. Additionally, the method of applying any

inflation or deflation rates should be described. Capital costs and revenues should be shown for the same construction periods and inflation factors should be consistently applied to both. Identify what percent the pre-construction costs are of the total project cost, particularly if Proposition 116 funds are sought. No more than 5% of the Proposition 116 funds may be used for pre-construction costs. (Please provide a breakdown of the amount requested for this activity in this project.)

Item 8c.

"Prior commitments" represent federal, state or local actions such as a "letter of no prejudice", an AB 3090 approval, an SB 2800 approval, or local decision to allow the applicant to proceed with a project with some level of assurance that more funding will be committed.

Item 8d.

List the applicable STIP number (a.k.a. Project Planning Number, PPNO), PA resolutions, or Public Utilities Code section from which funds are requested, as well as the amount for each.

Item 9. Overall Project Funding Plan

This is required for all programs. If bond funds (Proposition 116) are to be used to fund the project, the "Bond Fund Certification for Rail Projects" must be completed prior to allocation and can be obtained as part of the Rail Transit Administration Guidelines from Caltrans District Office.

The Overall Project Funding Plan may be a single statement for a small project that will receive a lump sum reimbursement after project completion.